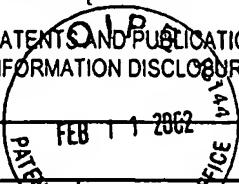


FORM PTO-1449(Modified)		ATTY. DOCKET NO.: J1-02	SERIAL NO.: 10/015,003
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		APPLICANT: W. Richard Jones	
		FILING DATE: December 11, 2001	GROUP:



## U.S. PATENT DOCUMENTS

Exam Init	Ref Des	TRADEMARK OFFICE Document No.	Date	Name	Class	Sub Class	FILING DATE If Appropriate
/JR/		5,132,899	07/21/92	Fox	364	408	
		5,742,775	04/21/98	King	395	238	
		5,761,441	06/02/98	Bennett	395	235	
		5,799,287	08/25/98	Dembo	705	36	
		5,806,049	09/08/98	Petruzzi	705	36	
		5,812,987	09/22/98	Luskin et al	705	36	
		5,911,135	06/08/99	Atkins	705	36	
		5,933,815	08/03/99	Golden	705	35	
		5,978,778	11/02/99	O'Shaughnessy	705	36	
		5,999,917	12/07/99	Facciani et al	705	36	
		6,029,148	02/22/00	Zurstrassen	705	36	
		6,035,286	03/07/00	Fried	705	36	
		6,041,313	03/21/00	Gilbert, et al	705	36	
		6,061,662	05/09/00	Makivic	705	36	
		6,061,663	05/09/00	Bloom et al	705	36	
		6,078,904	06/20/00	Rebane	705	36	
		6,144,947	11/07/00	Schwartz	705	37	
		6,188,992	02/13/01	French	705	35	
		6,192,347	02/20/01	Graff	705	36	
		6,219,650	04/17/01	Friend, et al	705	36	
↓	/JR/	5,819,238	10/06/98	Fernholz	705	36	
		5,911,135	06/08/99	Atkins	705	36	
	/JR/	5,193,056	03/09/93	Boes	364	408	

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	Country & Doc. No. (11)	Pub. Date (43)		Class	Sub Class	Translation Yes No

EXAMINER	/James Rioux/	DATE CONSIDERED	05/08/2007
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LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT			APPLICANT: W. Richard Jones	
			FILING DATE: December 11, 2001	GROUP:
OTHER ART (Including Author, Title, Date, Pertinent Pages, Publication, Etc.)				
/JR/	PATENT & TRADEMARK OFFICE	FEB 11 2002	The Vanguard Group, Vanguard Gold and Precious Metals Fund Prospectus dated May 31, 2000	
			Barclays Global Investors, iShares MSCI Series Prospectus dated January 2, 2001	
			Barclays Global Investor, iShares Russell Series; iShares S&P Series; iShares Dow Jones Series Prospectus dated May 12, 2000 (as revised October 26, 2000)	
			Scudder Investments, Select Funds, Class AARP and Class S Shares Prospectus dated July 1, 2000	
			The Vanguard Group, Vanguard U.S. Stock Index Funds Prospectus dated November 1, 2000	
			Roger J. Bos, Standard & Poor's; Event Study: Quantifying the Effect of Being Added to an S&P Index dated September, 2000	
			Roger J. Bos, Standard & Poor's; An Overview of Standard & Poor's Earnings and Dividend Quality Rank Model dated July, 2000	
			Roger J. Bos, Standard & Poor's; An Overview of the Standard & Poor's 100 Index dated December, 2000	
			Roger J. Bos, CFA, Michele Ruotolo, Standard & Poor's; General Criteria for S&P U.S. Index Membership dated September, 2000	
			Scudder Investments, Scudder S&P 500 Index Fund, Prospectus dated April 12, 2000	
			Standard & Poors Index Services, S&P Global 1200 Index Changes 2001, S&P Global 1200 Index Changes 2000; <a href="http://www.spglobal.com/ssindexmain1200indchange.html">http://www.spglobal.com/ssindexmain1200indchange.html</a>	
			Diamonds Trust, Series 1 Prospectus, Part A and Part B, The Dow Industrials, copyright 2001 by PDR Services LLC	
			Nike Securities L.P. First Trust® (Prospectus) January 23, 2002 (similar for years 2000, 2001) (50 pages)	
			Nike Securities L.P. First Trust® Communications Portfolio Series 10; <a href="http://www.nikesec.com/indiv/ftp/portfoliooverview.asp?fundid=2666&amp;Trust=ccgr10">http://www.nikesec.com/indiv/ftp/portfoliooverview.asp?fundid=2666&amp;Trust=ccgr10</a> (4 pages)	
			Nike Securities L.P. First Trust® Biotechnology Portfolio Series 7; <a href="http://www.nikesec.com/indiv/ftp/portfoliooverview.asp?fundid=2669&amp;Trust=btgr7">http://www.nikesec.com/indiv/ftp/portfoliooverview.asp?fundid=2669&amp;Trust=btgr7</a> (5 pages)	
			Nike Securities L.P First Trust® Capital Goods Portfolio Series 1; <a href="http://www.nikesec.com/indiv/ftp/portfoliooverview.asp?fundid=2670&amp;Trust=cggr1">http://www.nikesec.com/indiv/ftp/portfoliooverview.asp?fundid=2670&amp;Trust=cggr1</a> (3 pages)	
			Nike Securities L.P. First Trust® Biotechnology Portfolio Features & Benefits; <a href="http://www.nikesec.com">www.nikesec.com</a> (2 pages)	
			Standard & Poor's Depositary Receipts®, SPDR Trust, Series 1, Prospectus Part A Dated January 24, 2001 (70 pages)	
			streetTRACKS Series Trust, Prospectus 79 pages; October 26, 2001 (similar for 2000)	
▼			Broadband HOLDERS, Contract Specifications, Description of Product; <a href="http://www.amex.com/structuredeq/holdrs_bdh.stm">http://www.amex.com/structuredeq/holdrs_bdh.stm</a> (3 pages)	
/JR/			Standard & Poors Index Services, S&P Global Indices; <a href="http://www.spglobal.com/ssindexmain.html">http://www.spglobal.com/ssindexmain.html</a>	
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James  
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 <b>SUPPLEMENTAL INFORMATION PTO-1449 (Modified)</b> <small>AND FEE INFORMATION</small>	ATTY. DOCKET NO.: J1-02	SERIAL NO.: 10/015,003
	APPLICANT: W. Richard Jones	
	FILING DATE: December 11, 2001	GROUP:

## **U.S. PATENT DOCUMENTS**

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**GROUP 3600**

## **FOREIGN PATENT DOCUMENTS**

OTHER ART

(Including Author, Title, Date, Pertinent Pages, Publication, Etc.)

/JR/		International Search Report issued in PCT Application PCT/US02/22574 on May 27, 2003
/JR/		International Search Report issued in PCT Application PCT/US02/22547 on June 17, 2003

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/James Rioux/

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LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		APPLICANT: W. Richard Jones	
		FILING DATE: Dec. 11, 2001	GROUP: 3624

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Exam Init	Ref Des	Document No.	Date	Name	Class	Sub Class	FILING DATE If Appropriate
/JR/		20010042037	11/2001	Kam et al.			
		20020059123	05/2002	Dunning et al.			
		20020059126	05/2002	Ricciardi			
		20020059127	05/2002	Brown et al.			
		20020062272	05/2002	Kim et al.			
		20020062271	05/2002	Breuninger			
		20020069149	06/2002	Maxwell et al.			
		20020099636	07/2002	Narumo			
		20030004846	01/2003	Schneider			
↓		20030018556	01/2003	Squyres			
		20030023532	01/2003	Bolt			
/JR/		20030009405	01/2003	Kiron et al.			

## FOREIGN PATENT DOCUMENTS

		Country & Doc. No. (11)	Pub. Date (43)		Class	Sub Class	Translation Yes No

## OTHER ART

(Including Author, Title, Date, Pertinent Pages, Publication, Etc.)

/JR/		Jones, Robert. "Earnings basis for weighting stock portfolios." Pensions and Investments. August 6, 1990.
/JR/		iShares Trust Supplement dated August 17, 2005 to the Prospectus dated August 1, 2005 for the iShares Russell and S&P Index Funds pages 1-109

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